



## Revision Log

| Revision No. | Effective Date | Prepared By        | Description of Changes  | Affected Pages |
|--------------|----------------|--------------------|---|----------------|
| R0           | 12/16/97       | John L. Day        | New quality procedure (QP); replaces administrative procedures (APs) AP-01.1 and AP-01.5  | All            |
| R1           | 2/23/98        | John L. Day        | Format and process changes  | All            |
| R2           | 8/21/98        | John L. Day        | Format and process changes  | All            |
| R3           | 8/27/99        | John L. Day        | Format and process changes  | All            |
| R4           | 5/09/01        | Andrew E. Gallegos | Revised to incorporate revision log page; section 2.0, Scope; section 3.0, References; new sections to address interim change notices (ICNs), lessons learned, Price-Anderson Amendments Act of 1988 (PAAA) and integrated safety management (ISM) requirements, and periodic procedure review requirements.  | All            |
| R5           | 12/10/02       | Andrew E. Gallegos | Revised to incorporate ICN ER2001-0480, use of process flow charts, and format changes. Added Attachment B, "Quality Procedure Deletion Action Request," and information about development and submission of forms. Format changes include deletion of ER logo, table of contents page, and use of <i>shall</i> , <i>will</i> , <i>must</i> , and <i>should</i> . QP template and QP rewritten and restructured so that QP functions as instructions for template.. | All            |
| Reviewed     | 05/06/2004     | Phil Noll          | Process deemed adequate.  |                |
|              |                |                    |   |                |

# Quality Procedure Development

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## List of Acronyms and Abbreviations

|      |                                |     |                              |
|------|--------------------------------|-----|------------------------------|
| AP   | administrative procedure       | RPF | records processing facility  |
| DCC  | Document Control Coordinator   | SOP | standard operating procedure |
| ER   | environmental restoration      |     |                              |
| ICN  | interim change notice          |     |                              |
| ISM  | integrated safety management   |     |                              |
| LANL | Los Alamos National Laboratory |     |                              |
| PAAA | Price Anderson Amendments Act  |     |                              |
| PTL  | Project Team Leader            |     |                              |
| QP   | quality procedure              |     |                              |
| QPPL | Quality Program Project Leader |     |                              |

# Quality Procedure Development

## 1.0 PURPOSE

This QP states the responsibilities and describes the process for developing, revising, deleting and/or implementing periodic reviews of QPs, and creating ICNs, for the Los Alamos National Laboratory (LANL) ER Project.

**Note:** The process for requesting a SOP action (e.g., developing, revising, creating ICNs, or deleting SOPs, and/or implementing periodic reviews of SOPs) is covered in QP-4.2.

## 2.0 SCOPE

2.1 All **ER personnel** shall implement this mandatory QP for the ER Project.

2.2 **Subcontractors** performing work under the ER Project's quality program shall follow this QP.

## 3.0 TRAINING

3.1 All **ER personnel** shall train (i.e., read only training) to and use the current version of this QP. Contact the author of this QP if the text is unclear.

3.2 All **ER personnel** using this QP shall document training in the training database located at <http://erinternal.lanl.gov/Training/login.asp> in accordance with QP-2.2.

3.3 The responsible **supervisor** shall monitor the proper implementation of this procedure and ensure that the appropriate personnel complete all applicable training assignments.

## 4.0 DEFINITIONS

4.1 *Action step*—A procedure element that provides instruction for performing a specific process action or task.

4.2 *Action substeps*—Detailed actions that make up the upper-level action step or that describe how to perform the action step.

4.3 *Author*—The technical expert who owns the process described within the QP and who retains ultimate responsibility for the technical content.

4.4 *Document Control Coordinator (DCC)*—The person responsible for maintaining and managing the ER Project document control master list, formatting controlled electronic files for web publication, and ensuring that each QP is reviewed every two years.

4.5 *Effective date*—The date on which a procedure is sent for web publication.

- 4.6 *Identifier*—A unique number assigned to a procedure by the DCC to categorize, identify, and control the procedure.
- 4.7 *Interim Change Notice (ICN)*— Notification of procedure changes that are more narrow in scope than those of a major revision.
- 4.8 *Major revision*—Changes to a procedure that affect the technical content or process of the work.
- 4.9 *Minor revision*—Changes to a procedure (e.g., grammar or spelling corrections, renumbering sections or attachments, changing the title or document number, or updating organizational changes, etc.) that do not affect the technical content or process of the work.
- 4.10 *Process flow chart*—A tool used in complex procedures to enable the user to visually track action steps within the procedure or move on to other documents.
- 4.11 *Quality procedure (QP)*—Within the ER Project, a document that describes the process for performing any activity governed by the ER Project [Quality Management Plan](#).
- 4.12 *Requester of a QP action*—Any ER member who requests the development of a new QP, the revision of an existing QP, or the deletion of an existing QP.

## 5.0 RESPONSIBLE PERSONNEL

The following personnel are responsible for activities identified in this procedure:

- Author
- Document Control Coordinator
- ER Personnel
- Peer Review Task Leader
- Project Team Leader
- Quality Program Project Leader
- Requester
- Reviewer
- Subcontractor
- Supervisor

## 6.0 PROCEDURE

### 6.1 QP Action Request

**ER personnel** shall request the development, revision, or deletion of a QP by contacting the ER Project QPPL.

### 6.2 New QP Development

6.2.1 The responsible **QPPL** shall assign an author to develop the QP.

6.2.2 The **author** shall obtain a new QP number (its identifier) from the DCC, providing the QP title and document catalog number from the Document Signature Form generated at <http://erinternal.lanl.gov/DocCatalog/home.asp>.

6.2.3 Before developing a QP, the **author** should review the following documents to ensure that applicable safety requirements are identified and addressed in the QP:

- The LANL ISM description document, LA-UR-98-2837, located at [http://int.lanl.gov/safety/pdf/desc\\_doc.pdf](http://int.lanl.gov/safety/pdf/desc_doc.pdf)
- The Price Anderson Amendments Act (PAAA), located at <http://aea.genlaw.lanl.gov/PAAA/index.html>.

6.2.4 The **author** shall work with a technical editor assigned to the author's focus area/organization, if applicable, to ensure that the QP is readable, coherent, and in compliance with ER Project and LANL guidelines.

6.2.5 The **author** shall make a copy of the MS Word template provided at <http://erinternal.lanl.gov/WritingGuide.shtml> or <http://erinternal.lanl.gov/Quality/user/qps.asp> by opening the template and saving it with a file name that contains its document catalog number, the QP identifying number, and the revision number (e.g., ER2002-0577QP-4.1R3.doc [no spaces]). (The template contains proper formatting, headings, and boilerplate text.)

6.2.6 The **author** shall write the QP according to the general guidelines below:

6.2.6.1 Replace or delete the template bracketed text; the remaining text is mandatory, boilerplate text.

6.2.6.2 Express required actions by using *shall* in declarative sentences (e.g., "The **manager** shall approve the completed work order" instead of "Completed work orders are approved by the manager"). Use imperative

sentences (direct commands) as illustrated throughout this QP.

6.2.6.3 Use acronyms and abbreviations as defined in the acronym and abbreviation list located at <http://erinternal.lanl.gov/WritingGuide.shtml>.

- Spell out acronyms and abbreviations at their first use in text, or;
- Make an alphabetical list of the acronyms and abbreviations.

**Note:** An alphabetical list of acronyms and abbreviations is optional based upon the author's preferences.

- Insert the list just after the table of contents if the list is shorter than one page. If the list is longer, provide the list as an attachment to the QP.

6.2.6.4 If a procedure is complex, consider incorporating one or more process flow charts under the following conditions:

- The chart does not replace procedural text.
- The chart helps the user better understand the action steps and subaction steps within the procedure.
- The chart is made up of standard flow chart symbols and processes (see Attachment C for examples).
- The chart is an attachment.

**Note:** The use of flow charts is not mandatory.

6.2.7 The **author** shall create QP sections as described below, leaving the template's boilerplate text intact (the boxed text indicates a required section heading).

6.2.7.1 **1.0 PURPOSE**

Insert a clear and concise description of the task or operation governed by the procedure.

6.2.7.2 **2.0 SCOPE**

Insert scope requirements as addressed in the QP template, however, if action step 2.3 does not apply do not enter it in the QP.

6.2.7.3 **3.0 TRAINING**

Insert training requirements and describe how to meet those requirements (e.g., read only, OJT or classroom).

#### 6.2.7.4 **4.0 DEFINITIONS**

- Do not include “how-to” instructions or cite references for defined terms.
- Add any QP-related terms that are unique to the QP and any terms that may be unfamiliar to the QP user.
- Use the ER Project glossary at <http://erinternal.lanl.gov/WritingGuide.shtml> for writing definitions.

**Note:** If a term’s definition is revised and/or a new definition developed, submit the definition to an ER Project editor for incorporation into the ER Project glossary.

- Order the terms and definitions alphabetically and follow the template’s numbering style.

#### 6.2.7.5 **5.0 RESPONSIBLE PERSONNEL**

List personnel alphabetically (by title or role) with responsibilities described in the QP.

#### 6.2.7.6 **6.0 PROCEDURE**

- Describe the required work in clear and concise action steps, giving one action per numbered section. If the procedure is complex, group action steps together and add a descriptive subheading, as done in this document. Apply the template’s “level2text TOC” style to these subheadings and create more subheadings, as needed, to show nested subactions.
- Identify by boldfaced title the person (from the section 5.0, RESPONSIBLE PERSONNEL) who performs each step.
- Include descriptions of applicable quality assurance and quality control management processes, and include any safety requirements that are unique to the QP.
- Include references to any existing documents (e.g., QP-3.4, Managing Nonconformance, Deficiencies, and Corrective Actions) that should be used to demonstrate quality or control.



6.2.7.7 **7.0 LESSONS LEARNED**

Add lessons learned boilerplate text and web locations as addressed in the template.

6.2.7.8 **8.0 RECORDS**

- Insert the title or role of the person responsible for record submittal.
- List the QP-generated records that require transmittal to the ER Project Records Processing Facility (RPF).

6.2.7.9 **9.0 REFERENCES**

- List all documents that are cited in the QP and all those needed for process clarity. (The QP template already contains a set of standard documents and their online location).
- When adding a document that is available from a different web location, provide the URL.

6.2.7.10 **10.0 ATTACHMENTS**

- Include the template's wording, "The user of this QP may locate all forms associated with this procedure at <http://erinternal.lanl.gov/Quality/user/forms.asp>," only if all forms are online.
- Update the list of attachments in the QP template.
- Add new attachments. If one is an online form, add it by following the example of Attachment A in the QP template and using the appropriate watermark.
- If an attachment is a database-generated form, note that in the section 10.0 list.

6.2.8 The **author** shall ensure that the new QP is developed, reviewed, and approved in accordance with QP-4.9 and QP-3.5.

6.2.9 The **author** shall sign and date the Document Signature Form, forwarding a hardcopy of the QP, an electronic copy of the QP, and the signature form to the QPPL for review and approval.

6.2.10 When satisfied that the QP meets the requirements of this procedure, the **QPPL** signs and dates the Document Signature Form.

6.2.11 The **QPPL** shall complete the process by following QP-4.5.

### 6.3 QP Revision

- 6.3.1 If a QP requires major revision (see Section 4.8), the **QPPL** shall ensure that the author initiates the revision by following the appropriate requirements in section 6.2 above and in QP-4.9.
- 6.3.2 If a QP requires only minor revisions (see section 4.9) that do not affect the technical content or process of the work, the **QPPL** shall ensure that the author follows QP-4.10.

### 6.4 Interim Change Notice (ICN)

- 6.4.1 Before creating an ICN, the **requester** shall consult the author or the QPPL to determine if an ICN is appropriate.
- 6.4.2 The **requester** shall acquire the ICN number from the DCC, following QP-4.5, and a Document Catalog Number in accordance with QP-4.9.
- 6.4.3 The **DCC** shall ensure that no more than two ICNs are issued against a particular procedural revision.
- 6.4.4 If two ICNs are already issued, the **DCC** shall inform the author that a revision is required, following section 6.3 of this document.
- 6.4.5 If an ICN is appropriate, the **requester** shall fill out a QP ICN form located at <http://erinternal.lanl.gov/Quality/users/forms.asp> (see Attachment A).
- 6.4.6 The **requester** shall enter a justification for the ICN in block 7 of the form and ensure that the justification is consistent with the definition of ICN in section 4.7 of this document.
- 6.4.7 The **requester** shall obtain review and concurrence from at least one technical reviewer, as well as from the QPPL.
- 6.4.8 The **reviewer** shall consider the changed portion of the procedure, the effects of the changes on the procedure, and the results of implementing the changed procedure.
- 6.4.9 After reviewing and approving the ICN, the **QPPL** shall forward an electronic copy of the ICN and the completed Document Signature Form to the **DCC** for processing.
- 6.4.10 The **DCC** shall process the ICN in accordance with QP-4.5.

### 6.5 QP Deletion

- 6.5.1 The **requester** of the deletion shall help the QPPL determine if the procedure is eligible for deletion by providing key information, for example:

- the relevant procedural requirements are no longer addressed in upper-tier documents such as 10 CFR, Part 830, Subpart A; Department of Energy Order 414.1; or Laboratory Implementation Requirements;
  - a particular procedure's requirements will be, or are currently, integrated into another procedure(s);
  - the ER Project is no longer required to implement the processes addressed in the procedure; and/or
  - the procedure requires total revision and/or is replaced by another procedure or form.
- 6.5.2 After obtaining the information addressed in action step 6.5.1, and a determination has been made to delete the QP, the **QPPL** shall send a global email to all ER personnel addressing the deletion.
- 6.5.3 If a procedure user objects to the deletion, that procedure **user** shall notify the **QPPL** within ten working days of receiving the deletion notification.
- 6.5.4 After ten days, if no objection is made, the **QPPL** notifies the DCC to delete the procedure.
- 6.5.5 The **DCC** processes the deleted procedure in accordance with QP-4.5.
- 6.6 Periodic Review of Procedures
- 6.6.1 The **author** or the **QPPL** shall review each QP within his/her purview at least every two years in accordance with QP-4.5 to ensure that the QP meets current requirements, processes, regulations, standards, and/or laws.
- 6.6.2 The **author** or the **QPPL** shall incorporate any major changes to format or requirements by following this QP.

## 7.0 LESSONS LEARNED

- 7.1 Before performing the work described in this QP, **ER personnel** should go to the Department of Energy Lessons Learned Information Services home page, located at <http://www.tis.eh.doe.gov/ll.ll.html>, and/or the LANL Lessons Learned Resources web page, located at [http://www.lanl.gov/projects/lessons\\_learned/](http://www.lanl.gov/projects/lessons_learned/) and search for applicable lessons.
- 7.2 During the performance of work, **ER personnel**, as appropriate, shall identify, document, and submit lessons learned, in accordance with QP-3.2.

## 8.0 RECORDS

The **author** and **DCC** shall submit, as applicable, the following records to the RPF in accordance with QP-4.4:

- A hard copy of the approved new or revised QP
- A signed hard copy of the completed Document Signature Form
- A signed hard copy of the completed ICN form, if applicable
- A signed hard copy of the completed Quality Procedure Deletion Action Request form, if applicable
- An electronic copy of the approved new or revised procedure

## 9.0 REFERENCES

To properly implement this QP, **ER personnel** should become familiar with the contents of the following documents located at

[http://erinternal.lanl.gov/home\\_links/Library\\_proc.shtml](http://erinternal.lanl.gov/home_links/Library_proc.shtml):

- ER Project Quality Management Plan
- QP-2.2, Personnel Orientation and Training
- QP-2.3, Personnel Exit and Entry Process
- QP-3.2, Lessons Learned
- QP-3.5, Peer Review Process
- QP-4.2, Standard Operating Procedure Development
- QP-4.4, Record Transmittal to the Records Processing Facility
- QP-4.5, Document Control
- QP-4.9, Document Development and Approval Process: Peer Review Required
- QP-4.10, Document Development and Approval Process: Peer Review not required
- Editing and Composition Guidelines for Preparing ER Project Documents, located at <http://erinternal.lanl.gov/WritingGuide.shtml>
- Los Alamos National Laboratory Integrated Safety Management Description Document, LA-UR-98-2837, located at [http://int.lanl.gov/safety/pdf/desc\\_doc.pdf](http://int.lanl.gov/safety/pdf/desc_doc.pdf)
- Price Anderson Amendments Act, located at <http://aea.genlaw.lanl.gov/PAAA/index.html>

## 10.0 ATTACHMENTS

The user of this QP may locate all forms associated with this procedure at <http://erinternal.lanl.gov/Quality/user/forms.asp>.

Attachment A: Quality Procedure Interim Change Notice form and instructions  
(2 pages)

Attachment B: Process Flow Chart Example (1 page)

Attachment C: QP Development Process Flow Chart (2 pages)

[Using a token card, click here to record "self-study" training to this procedure.](#)

If you do not possess a token card or encounter problems, contact the RRES-ECR training specialist.

## Quality Procedure (QP) Interim Change Notice (ICN)

Effective Date:

Page(s)

**Section 1: Description of Change** (Requester completes)1. Document Catalog No.: **ER200** -

2. QP &amp; Rev. No.:

3. ICN No.:

4. QP Title:

5. Description of Change:

6. Attachments Modified, Added, or Removed:

☐ Yes☐ No

7. ICN Justification:

8. Requester: \_\_\_\_\_

(Print name, then sign.)

(Date)

**Section 2: Evaluation and Approval** (PTL, Technical Reviewer, and QPPL complete)

9. Evaluation Remarks: (If none, enter N/A)

10. Project Team Leader: \_\_\_\_\_

(Print name, then sign.)

(Date)

11. Technical Reviewer: \_\_\_\_\_

(Print name, then sign.)

(Date)

12. QPPL: \_\_\_\_\_

(Print name, then sign.)

(Date)

**QP-4.1, R5****Los Alamos National Laboratory  
Environmental Restoration**

## ICN Form Instructions

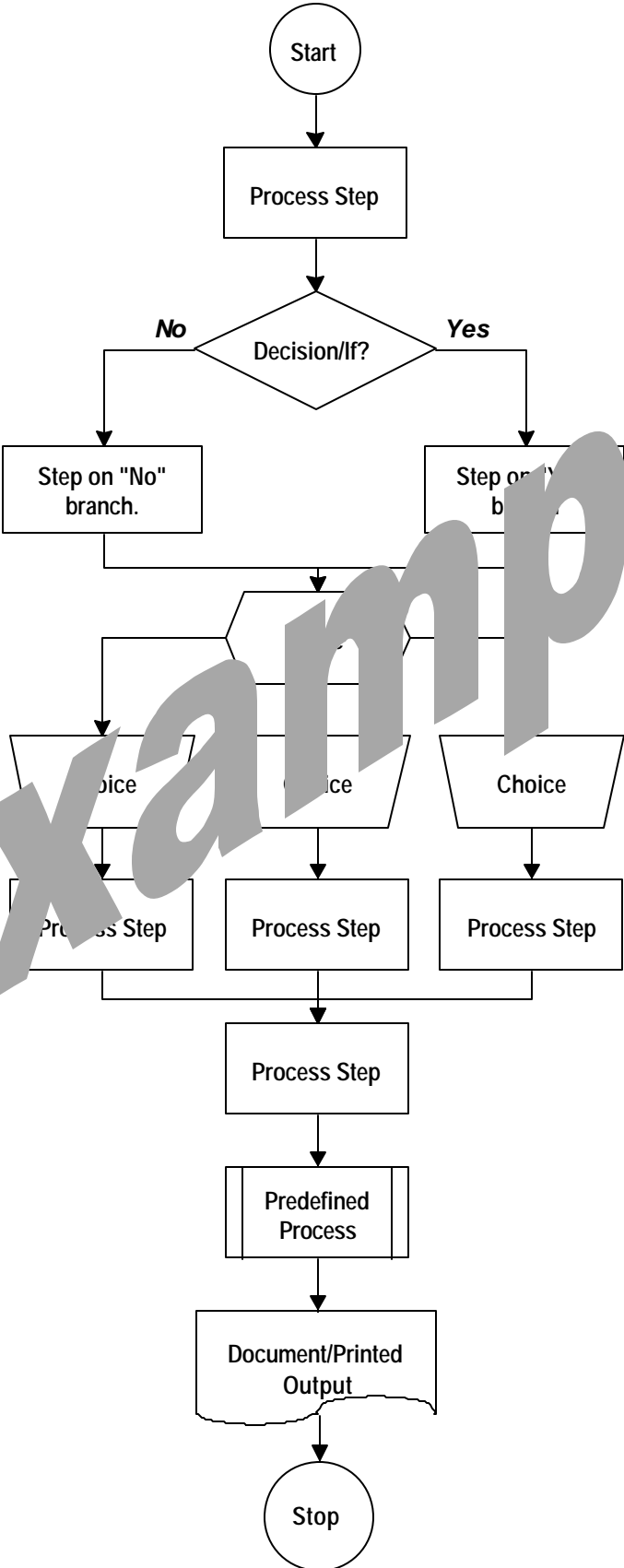
### Section 1: Description of Change (Requester completes.)

1. Enter the document catalog number for this ICN acquired from <http://erinternal.lanl.gov/DocCatalog/home.asp>.
2. Record the QP number and revision number.
3. Record the current ICN number acquired from DCC.
4. Record the procedure title.
5. Describe the changes in detail. Provide marked-up copies of the procedure or attach additional sheets, as necessary.
6. Were procedure attachments modified, added, or removed? Check [yes](#) or *no*. If [yes](#), identify the affected attachments.
7. Provide a clear and concise justification for the change(s).
8. Print your name, then sign and date the form.

### Section 2: Evaluation and Approval ([QPPL](#), Technical Reviewer, and PTL complete.)

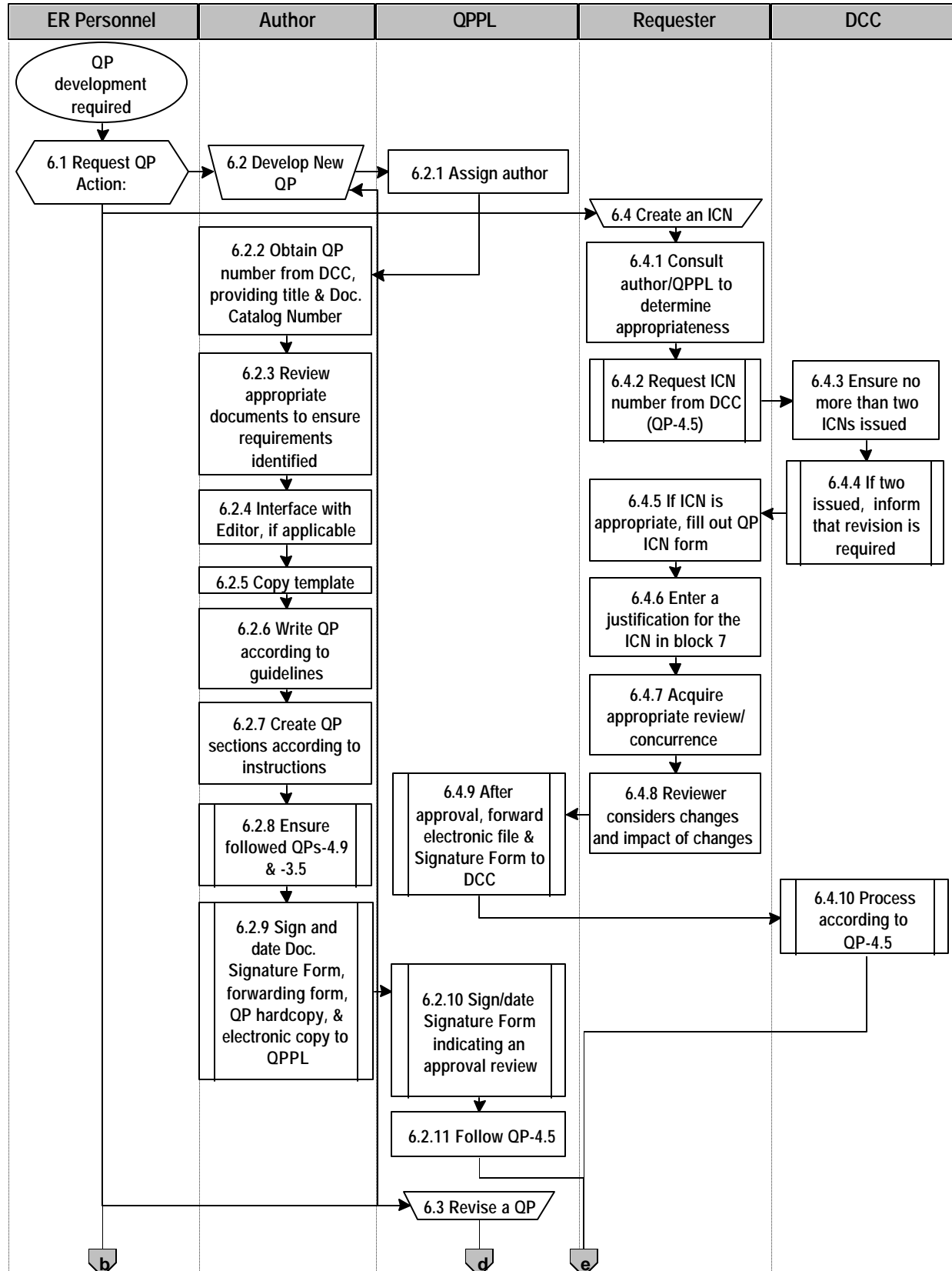
9. Either the PTL or the QPPL records any evaluation remarks; if there are none, enter [N/A](#).
10. The PTL prints name, then signs and dates the form.
11. The technical reviewer prints name, then signs and dates the form.
12. The QPPL prints name, then signs and dates the form.

Sample of Process Flow Chart





## Quality Procedure Development Process Flow Chart



## QP Development Process Flow Chart (Cont.)

